

Contract Case Management Guidelines

1. Lead Agencies are the only agencies that may enroll with DMA to provide/bill for contract case management services. Other agencies provide case management services to waiver recipients via a contractual arrangement with the Lead Agency.
2. Lead Agencies must inform waiver recipients of their right to request case management services from an agency other than the Lead Agency.
3. Lead Agencies must respond to either a verbal or written request from a participant or legally responsible person for a change of case managers in one of these ways:
 - A contract has been established and service orders have been issued to transfer the participant to the agency he/she has requested.
 - The agency is not qualified to provide CAP-MR/DD case management services and has been given the written notification of this decision, including the reasons the agency is not qualified to provide the service. Likewise, if a contract agency does not meet the terms of their contract, the Lead Agency must notify the contract agency in writing of such and provide the contract agency with the Lead Agency Appeals process. Lead Agencies may terminate contracts immediately if the health and safety of a waiver participant is in jeopardy.
 - The agency certification/accreditation or contract process is in process. If this is the case, the agency, participant, and legally responsible person must be kept informed of the process to certify the agency and contract with the agency.
4. Lead Agencies must consider/process applications from potential contract case management agencies at their request. Once an agency is certified/accredited, the agency is added to the Lead Agency Provider List. A contract is not established until a participant requests case management services from that agency.
5. Contract case management agencies may not provide both direct services and case management services to the same individual.
6. Contract case management agencies must establish policies to assure that all good faith efforts are made to inform individuals of the full array of provider choices and that people are not steered into agencies that may have affiliations with them.
7. The contract between the Lead Agency and contract agency specifies how the case manager is trained and supervised. DMH/DD/SAS is not responsible for training contract case managers. While the Lead Agency may provide training and supervision to the contract case manager, it is not required to do so. Lead Agencies are responsible for communicating waiver updates to contract agencies.
8. Lead Agencies monitor the work of contract case managers. The monitoring process is included in the contract between the Lead Agency and contract agency. Implementation reviews should also be conducted per the Manual guidelines.
9. Lead Agencies may retain the full administrative cost that is included in the case management payment rate. They may not retain any other portion of the case management payment rate.
10. Contract case managers will find answers to most CAP-MR/DD technical questions in the 2001 CAP-MR/DD Manual. Contract case management agencies should make sure they have all manual updates or any other memorandums that communicate changes to the waiver/manual. These can be found on the DMH/DD/SAS web site (<http://www.dhhs.state.nc.us/mhddsas/>) or in Medicaid Bulletins on the DMA web site (<http://www.dhhs.state.nc.us/dma/bulletin.htm>). Other technical questions should be addressed to the contract case manager's supervisor or the Lead Agency CAP-MR/DD coordinator. The CAP-MR/DD coordinator contacts DMH/DD/SAS if he/she needs assistance in answering the question.